CLAIMS

What is claimed is:

1.   A data processing system for managing broker transaction information in compliance with governmental regulations, comprising:

    (a)   computer processor means for processing data;

    (b)   storage means for storing said data on a storage medium;

    (c)   communication means for transmitting data in a secure environment to and from various remote locations; and

    (d)   computer software means for creating trade data concerning a particular trade in the form of a trade record, reviewing said trade data and approving/disapproving the trade record, and maintaining security measures for said data processing system to prevent unauthorized access and use of said trade data.

2.   A data processing system, as claimed in Claim 1, wherein said computer software means further comprises:

    means for inputting and storing system information on said storage means.

3.   A data processing system, as claimed in Claim 1, further comprising:

    means for monitoring the modification of trade data in respective trade records which are created by said computer software means.

4.   A data processing system, as claimed in Claim 1, further including:

    means for monitoring log-ins to said data processing system.

5.   A data processing system, as claimed in Claim 1, further comprising:

    means for monitoring the activity of a particular broker representative who enters trade data through said computer software means.

6.   A data processing system, as claimed in Claim 1, further including:
means for outputting information regarding a particular trade.

7.   A data processing system, as claimed in Claim 1, further including:
means for creating and outputting daily trade blotter information.

8.   A data processing system, as claimed in Claim 1, further including:
means for creating and outputting checks/securities blotters.

9.   A data processing system, as claimed in Claim 1, further including:
means for creating and outputting buy and sell tickets.

10.   A data processing system, as claimed in Claim 1, further including:
means for creating and outputting client activity logs.

11.   A method of managing and processing broker transaction data comprising the
steps of:
    entering and recording trade data into a main server database of a data processing
system;
5   creating data files in the main server database corresponding to the entered trade data;
    monitoring all modifications made to the entered trade data residing in the respective
data files; and
    reporting all said modifications made to the trade data in a display generated by the
data processing system.

12.   A method, as claimed in Claim 11, further including the steps of:
transmitting data within said data processing system by secure transmission means.

13.   A method of managing and processing broker transaction data, said method comprising the steps of:

inputting broker transaction data by a computer logged onto a website linked to a data processing system, said broker transaction data reflective of a trade of a security;

recording the transaction data on the main database in the form of an original trade record;

posting the original trade record on a user screen for availability by a branch manager who then approves/disapproves the original trade record;

posting the approved/disapproved original trade record by the branch manager on the main database;

posting the approved/rejected original trade record on a user screen for availability by a broker representative; and

wherein said method takes place in the data processing system, and said transaction data and said trade record are manipulated electronically.

14.   A method, as claimed in Claim 13, wherein:

transfer of the transaction data and the trade record is conducted in a secure environment by encryption and decryption.

15.   A method, as claimed in Claim 13, further including the step of:

changing an element of data on the original trade record; recording the change of data in the original trade record; and

creating a display in the form of a comparative report showing the original trade record, and the original trade record as amended with the changed data element.

16.   A method, as claimed in Claim 13, further including the steps of:

managing a plurality of trade records; and

creating an output reflective of the plurality of trade records in the form of a desired report.

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17.   A method, as claimed in Claim 16, wherein said desired report is a daily trade blotter.

18.   A method, as claimed in Claim 16, wherein:
said desired report is a check/securities received blotter.

19.   A method, as claimed in Claim 16, wherein:
said desired report is in the form of a buy and sell ticket.

20.   A method, as claimed in Claim 16, wherein:
said desired report is in the form of a client activity log.

21.   A method, as claimed in Claim 16, wherein:
said desired report is in the form of a trade audit report.

22.   A method, as claimed in Claim 13, further including the steps of:
inputting authentication data to gain authority to access the data processing system including a password, user ID, and system ID; and
verifying the authentication data to determine access to the data processing system.

23.   A method, as claimed in Claim 21, further including the step of:
creating an output in the form of a log-ins report reflective of log-ins made to the data processing system.

24.   A method of processing and monitoring broker transaction data in the form of e-mail messages sent to a broker representative, said method comprising the steps of:
receiving an incoming e-mail message from a party requesting a trade of a security, the e-mail message being received on a computer linked to a website corresponding to a data processing system;

posting the received e-mail message to a main server computer, and recording the e-mail message on a main database of the main computer;

posting the e-mail message on a user screen for availability by a branch manager;

signifying approval/rejection of the e-mail message by the branch manager;

10 posting the approved/rejected e-mail message to the main database of the main computer;

recording the status of the approved/rejected e-mail message in the main database;

posting the e-mail message on a user screen for availability by a broker representative for review by the broker representative; and

15 creating an output in the form of a compliance report reflective of rejected e-mail messages.

25.   A method, as claimed in Claim 24, wherein:

all posting steps are achieved by secure electronic transmission using encryption and decryption.

26.   A method of processing and monitoring broker transaction data in the form of e-mail messages from a broker representative to a client, said method comprising the steps of:

creating and recording an e-mail message on a main database of a data processing

5 system;

posting the e-mail message for review by a branch manager, said posting step including providing a user screen available by the branch manager;

signifying approval/rejection of the e-mail message by the branch manager entering data reflective of the approval/rejection;

10 posting the approved/rejected e-mail message on the main database;

recording the status of the approved/rejected e-mail message on the main database;

posting the e-mail message on a user screen for availability by the broker representative by the broker representative; and

creating an output in the form of a compliance report reflective of rejected e-mail

15   messages.

27.   A method, as claimed in Claim 26, wherein:

all posting steps are achieved by secure electronic transmission using encryption and

decryption.